

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

OCT 06 2003
In Re Patent Application of:)
Remus Nicolaescu) Examiner: Not Yet Assigned
Application No. 10/603,379) Art Unit: Not Yet Assigned
Filed: June 24, 2003)
For: POLARIZATION INSENSITIVE)
METHOD AND APPARATUS FOR)
SWITCHING AND MODULATING)
AN OPTICAL BEAM)

)

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

Enclosed is a copy of Information Disclosure Citation Form PTO-1449 together with copies of the documents cited on that form. It is respectfully requested that the cited documents be considered and that the enclosed copy of Information Disclosure Citation Form PTO-1449 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

Pursuant to 37 C.F.R. § 1.97, this Information Disclosure Statement is being submitted under one of the following (as indicated by an "X" to the left of the appropriate paragraph):

XX 37 C.F.R. §1.97(b).

37 C.F.R. §1.97(c). If so, then enclosed with this Information Disclosure Statement is one of the following:

 A statement pursuant to 37 C.F.R. §1.97(e) or

 A check for \$180.00 for the fee under 37 C.F.R. § 1.17(p).

 37 C.F.R. §1.97(d). If so, then enclosed with this Information Disclosure Statement are the following:

(1) A statement pursuant to 37 C.F.R. §1.97(e); and

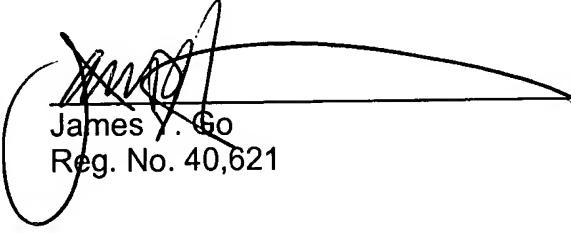
(2) A check for \$180.00 for the fee under 37 C.F.R. §1.17(p) for submission of the Information Disclosure Statement.

If there are any additional charges, please charge Deposit Account No. 02-2666.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Dated: 10-2-03


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CERTIFICATE OF MAILING:

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on October 2, 2003.
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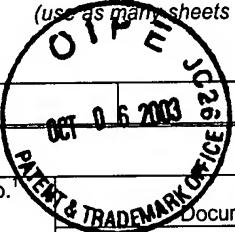


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Substitute for Form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

~~(use as many sheets as necessary)~~



Sheet 1

of

2

Complete if Known	
Application Number	10/603,379
Filing Date	June 24, 2003
First Named Inventor:	Remus Nicolaescu et al.
Art Unit	Not Yet Assigned
Examiner Name	Not Yet Assigned

U.S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

FOREIGN PATENT DOCUMENT						
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				

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Signature

Date Considered

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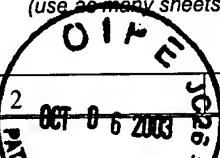
This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SENT FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.** If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

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Sheet 2 of 2 Attorney Docket Number 42P14248X

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First Named Inventor:	Remus Nicolaescu et al.
Art Unit	Not Yet Assigned
Examiner Name	Not Yet Assigned

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Date No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
	5.	Soref, R.A., et al., "Vertically Integrated Silicon-on-Insulator Waveguides," IEEE Photonics Technology Letters, Vol. 3, No.1, January 1991, pp. 22-24	
	6.	Bachmann, M., et al., "General Self-Imaging Properties In NxN Multimode Interference Couplers Including Phase Relations," Applied Optics, Vol. 33, No. 18, June 20, 1994, pp. 3905-3911	
	7.	Soldano, L.B., et al., "Optical Multi-Mode Interference Devices Based on Self-Imaging: Principles and Applications," Journal of Lightwave Technology, Vol. 13, No. 4, April 1995, pp. 615-627	
	8.	Rasmussen, T., et al, "Design and Performance Evaluation of 1-by-64 Multimode Interference Power Splitter for Optical Communications," Journal of Lightwave Technology, Vol. 13, No. 10, October 1995, pp. 2069-2074	
	9.	Muttukrishnan, R. et al., "Accurate Analysis of MMI Devices with Two-Dimensional Confinement," Journal of Lightwave Technology, Vol. 14, No. 9, September 1996, pp. 2078-2084	
	10.	Smit, M.K., et al., "Phasar-Based WDM-Devices: Principles, Design and Applications," IEEE Journal of Selected Topics In Quantum Electronics, Vol. 2, No. 2, June 1996, pp. 236-250	
	11.	Karrenahalli, S., et al., "Experimental Confirmation of Phase Relationships of Multimode Interference Splitters Using a Shearing-Type Near-Field Sagnac Interferometer," IEEE Photonics Technology Letters, July 1997, pp. 937-939	
	12.	Lorenzo, R.M., et al., "Improved Self-Imaging Characteristics in 1xN Multimode Couplers," IEE Proc.-Optoelectron, Vol. 145, No. 1, February 1998, pp. 65-69	

Examiner Signature	Date Considered
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